

APPENDIX A

1. **(Currently Amended)** A method for providing business continuity in an enterprise comprising:

collecting resource information, the resource information describing at least one resource used by the enterprise;

storing in a database resource information describing the at least one resource;

assessing a criticality of the at least one resource;

storing the assessment of the criticality of the at least one resource in the database;

developing a recovery plan for recovery from a loss of use of the at least one resource,

wherein the recovery plan aims to ensure the business continuity of the at least one resource;

storing the recovery plan in the database;

assessing the recovery plan;

storing the assessment of the recovery plan in the database;

testing the recovery plan and recording the results of the testing;

storing the recorded results of the testing in the database; and

providing status data from the database, wherein the status data comprises at least one of a status of:

the collection of the resource data;

the assessment of the criticality;

the development of the recovery plan; and

the testing of the recovery plan.

2. **(Original)** The method according to claim 1, wherein the at least one resource is a department within the enterprise, the step of collecting resource information further comprises at

least one of:

- collecting resource information with respect to the department name;
- collecting resource information with respect to the department manager;
- collecting resource information with respect to a primary location of the department;
- collecting resource information with respect to a recovery location of the department;
- collecting resource information with respect to products and services provided by the

department;

collecting resource information with respect to a total number of production seats
required by the department; and

collecting resource information with respect to a number of specialized production seats
required by the department.

3. (Original) The method according to claim 2, wherein a loss of use of the primary
location is assumed, the steps of collecting resource information with respect to the total number
of production seats and the specialized production seats further comprises at least one of:

determining how many of each type of seat is required a same day as the loss of use of
the primary location;

determining how many of each type of seat is required a day after the loss of use of the
primary location;

determining how many of each type of seat is required a week after the loss of use of the
primary location; and

determining how many of each type of seat is required a month after the loss of use of the
primary location.

4. (Canceled)

5. (Original) The method according to claim 1, wherein the at least one resource is a department within the enterprise, the step of collecting resource information further comprises at least one of:

collecting resource information with respect to software applications relied on by the department; and

collecting resource information with respect to external vendors relied on by the department.

6. (Original) The method according to claim 1, wherein the at least one resource is a department within the enterprise, wherein as part of the step of assessing the criticality of the department, a degradation of a functionality of the department is assumed, the step of assessing the criticality of the department further comprises at least one of:

assessing an impact on external customers of the enterprise resulting from the degradation of the functionality of the department;

assessing an impact on internal customers of the enterprise resulting from the degradation of the functionality of the department;

assessing a financial impact resulting from the degradation of the functionality of the department;

assessing an allowable time period that the degradation of the functionality of the department can last;

assessing an impact on regulatory obligations resulting from the degradation of the functionality of the department; and

assessing an impact on legal obligations resulting from the degradation of the functionality of the department.

7. (Original) The method according to claim 1, further comprising:
assigning specific people to fulfill roles in a case of interruption of the business of the enterprise, wherein the roles include at least one of:
building emergency organization chairperson;
business executive; facilities regional manager; and
human resources coordinator.
8. (Original) The method according to claim 7, further comprising:
receiving acknowledgements of the acceptances of the assignments from the specific people.
9. (Original) The method according to claim 7, further comprising: assigning alternate people to fulfill the roles.
10. (Original) The method according to claim 7, wherein the role of building emergency organization chairperson comprises at least one of:
overseeing recovery activities in the event of an emergency;
providing status on the recovery activities;
prioritize resumption of critical functions; and
compiling a list of all business units in a facility and their designated assembly areas, and recovery sites.
11. (Original) The method according to claim 7, wherein the role of business executive comprises at least one of:
assessing the enterprise's risk exposures as a result of an emergency;
declaring a disaster recovery condition; and prioritizing the reentry of employees to the building.

12. **(Currently Amended)** The method according to claim 7, wherein the role of facilities regional manager comprises at least one of:

- ordering partial or total evacuation of a facility;
- determining an anticipated length of the outage of a facility;
- supervising activities to restore the facility;
- providing status of the facility; and
- coordinating with local police, fire and other public safety officials[[:]].

13. **(Original)** The method according to claim 7, wherein the role of human resources coordinator comprises at least one of:

- accounting for employees in an emergency at a facility;
- coordinating activities to seek out employees who are not accounted for in the emergency;
- generating lists of names and employee contact information for employees at the affected facility; and
- maintaining hard-copy printouts of employee contact information.

14. **(Original)** The method according to claim 1, wherein the at least one resource is a department within the enterprise, the step of collecting resource information further comprises:

collecting employee resource information with respect to the employees of the department, the employee resource information including at least three of:

- the employee's name;
- primary work location;
- primary work region;
- primary work phone number;

primary work facsimile number;
pager number;
pager Personal Identification number;
cellular phone number;
home phone number;
alternate home phone number;
personal Internet addresses;
alternate work location;
alternate work address; and
alternate work phone number.

15. (Original) The method according to claim 14, further comprising:
generating a wallet card for the employee using the employee resource information,
wherein the wallet card is generated at a workstation of the employee.
16. (Original) The method according to claim 15, wherein the wallet card contains a
hotline, a website, and at least one emergency location that the employee can use in an
emergency.
17. **(Currently Amended)** The method according to claim 1, wherein all of the steps
~~of the~~ are facilitated using a software application, the method further comprising:
generating data input screens for accepting input from a user; and
providing drop down boxes on the data input screens in order to facilitate selection of
predefined information.
18. (Original) The method according to claim 1, wherein the step of assessing the
recovery further comprises:

questioning the developer of the plan as to whether it has required elements; and
developing a corrective action plan to address missing required elements.

19. (Original) The method according to claim 1, wherein the step of providing status data further comprises:

providing status data on the enterprise level;
providing status data on a line of business level; and
providing status data on a department level.

20.- 26. (Canceled)

27. **(Currently Amended)** A system for providing business continuity in an enterprise comprising:

a user interface for interfacing with users of the system;
at least one database server and at least one application server coupled to the user interface; and
at least database and at least one application respectively coupled to the database server and the application server;

wherein the system is programmed to:

collect resource information, the resource information describing at least one resource used by the enterprise;
store in the database, resource information describing the at least one resource;
assess a criticality of the at least one resource;
store the assessment of the criticality of the at least one resource in the database;
store in the database, a recovery plan for recovery from a loss of use of the at least one resource, wherein the recovery plan aims to ensure the business continuity of the at least one

resource;

assess the recovery plan;

storing, in the database, the assessment of the recovery plan;

record in the database, results of testing the recovery plan; and

provide status data from the database, wherein the status data comprises at least

one of a status of:

the collection of the resource data; the assessment of the criticality;

the development of the recovery plan; and

the testing of the recovery plan.

28. (Original) The system according to claim 27, wherein the at least one resource is a department within the enterprise, wherein the user interface is used to collect at least one of the following resource information:

resource information with respect to the department name;

resource information with respect to the department manager;

resource information with respect to a primary location of the department;

resource information with respect to a recovery location of the department; resource information with respect to products and services provided by the department;

resource information with respect to a total number of production seats required by the department; and

resource information with respect to a number of specialized production seats required by the department.

29. (Original) The system according to claim 28, wherein a loss of use of the primary location is assumed, the resource information with respect to the total number of production seats

and the specialized production seats further comprises at least one of:

the number of each type of seat that is required a same day as the loss of use of the primary location;

the number of each type of seat that is required a day after the loss of use of the primary location; the number of each type of seat that is required a week after the loss of use of the primary location; and

the number of each type of seat that is required a month after the loss of use of the primary location.

30. (Canceled)

31. (Original) The system according to claim 27, wherein the at least one resource is a department within the enterprise, wherein the user interface is used to collect at least one of the following resource information:

resource information with respect to software applications relied on by the department;
and

resource information with respect to external vendors relied on by the department.

32. (Original) The system according to claim 27, wherein the at least one resource is a department within the enterprise, wherein the assessment of the criticality of the department assumes a degradation of a functionality of the department, the assessment of the criticality of the department further comprises at least one of:

an assessment of an impact on external customers of the enterprise resulting from the degradation of the functionality of the department;

an assessment of an impact on internal customers of the enterprise resulting from the degradation of the functionality of the department;

an assessment of a financial impact resulting from the degradation of the functionality of the department;

an assessment of an allowable time period that the degradation of the functionality of the department can last;

an assessment of an impact on regulatory obligations resulting from the degradation of the functionality of the department; and

an assessment of an impact on legal obligations resulting from the degradation of the functionality of the department.

33. (Original) The system according to claim 27, wherein the database further includes:

an assignment of specific people to fulfill roles in a case of interruption of the business of the enterprise, wherein the roles include at least one of:

building emergency organization chairperson;

business executive;

facilities regional manager; and

human resources coordinator.

34. (Original) The system according to claim 33, wherein the database further includes acknowledgements of the acceptances of the assignments from the specific people.

35. (Original) The system according to claim 33, wherein the database further includes an assignment of alternate people to fulfill the roles.

36. (Original) The system according to claim 27, wherein the at least one resource is a department within the enterprise, wherein the user interface is used to collect at least one of the following resource information:

employee resource information with respect to the employees of the department, the employee resource information including at least three of: the employee's name;

primary work location;
primary work region;
primary work phone number;
primary work facsimile number;
pager number;
pager Personal Identification number;
cellular phone number;
home phone number;
alternate home phone number;
personal Internet addresses;
alternate work location;
alternate work address; and
alternate work phone number.

37. (Original) The system according to claim 36, further comprising:
an employee workstation that generates a wallet card for the employee using the employee resource information.

38. (Original) The system according to claim 27, further comprising:
an employee hotline and an employee website that the employee can use in an emergency.

39. (Original) The system according to claim 27, wherein the user interface further comprises:

data input screens for accepting input from a user; and
drop down boxes on the data input screens in order to facilitate selection of predefined information.

40. (Original) The system according to claim 27, wherein the database further includes a corrective action plan to address missing required elements in the recovery plan.

41. (Original) The system according to claim 27, wherein the status data further comprises:

status data on the enterprise level; status data on a line of business level; and
status data on a department level.

42. - 46. (Canceled)